

JC02 Rec'd PCT/PTO 28 MAR 2002

Form PTO 1390 (REV 5-93)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER P32426
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED / ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371			U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) <b>10/089508</b>
INTERNATIONAL APPLICATION NO. PCT/GB00/03747	INTERNATIONAL FILING DATE 29 September 2000	PRIORITY DATE CLAIMED 01 October 1999	
TITLE OF INVENTION Transgenic Rodent Comprising A Polynucleotide Encoding A Human UCP3 Polypeptide			
APPLICANT(S) FOR DO/EO/US Alejandro ABUIN and John CLAPHAM			

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11. to 16. below concern other document(s) or information included:**

11. ☒ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; and Form PTO-1449.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☒ Please amend the specification by inserting before the first line the sentence: This is a 371 of International Application PCT/GB00/03747, filed September 29, 2000, which claims benefit from the following GB Application: 9923334.8, filed October 01, 1999.
16. ☐ A substitute specification.
17. ☐ A change of power of attorney and/or address letter.
18. ☒ An Abstract on a separate sheet of paper.
19. ☐ Other items or information:

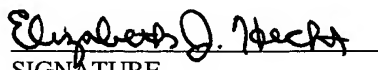
US APPLICATION NO. (if known see 37 CFR 1.50) <b>10/089508</b>		INTERNATIONAL APPLICATION NO. PCT/GB00/03747		ATTORNEYS DOCKET NO. P32426	
20. [X] The following fees are submitted:				CALCULATIONS PTO USE ONLY	
<b>Basic National Fee (37 C.F.R. 1.492(a)(1)-(5)):</b>				<b>890.00</b>	
Search Report has been prepared by the EPO or JPO .....\$890.00					
International Preliminary Examination Fee paid to USPTO (37 CFR 1.492) .....\$710.00					
No International Preliminary Examination Fee paid to USPTO (37 CFR 1.492) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) .....\$740.00					
Neither International Preliminary Examination Fee (37 CFR 1.492) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO.....\$1,040.00					
International Preliminary Examination Fee paid to USPTO (37 CFR 1.492) and all claims satisfied provisions of PCT Article 33(2)-(4).....\$100.00					
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<b>\$890.00</b>	
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				<b>\$0.00</b>	
Claims	Number Filed	Number Extra	Rate		
Total claims	<b>16 - 20 =</b>	<b>0</b>	<b>0 x \$18.00</b>	<b>\$0.00</b>	
Independent claims	<b>2 - 3 =</b>	<b>0</b>	<b>0 x \$84.00</b>	<b>\$0.00</b>	
Multiple dependent claims (if applicable)			<b>+ \$280.00</b>	<b>\$0.00</b>	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$740.00</b>	
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).				<b>\$</b>	
<b>SUBTOTAL =</b>				<b>\$740.00</b>	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)) +				<b>\$</b>	
<b>TOTAL NATIONAL FEE =</b>				<b>\$740.00</b>	
				Amount to be refunded	\$
				charged	\$

- a. ☐ A check in the amount of \$\_\_\_\_\_ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 19-2570 in the amount of **\$740.00** to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 19-2570. A duplicate copy of this sheet is enclosed.
- d. ☒ General Authorization to charge any and all fees under 37 CFR 1.16 or 1.17, including petitions for extension of time relating to this application (37 CFR 1.136 (a)(3)).

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

GLAXOSMITHKLINE  
Corporate Intellectual Property - UW2220  
P.O. Box 1539  
King of Prussia, PA 19406-0939  
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SIGNATURE  
Elizabeth J. Hecht  
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41,824  
REGISTRATION NO.

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PATENT

ATTORNEY'S DOCKET NUMBER P32426

TRANSMITTAL LETTER TO THE U.S. DESIGNATED OFFICE  
(DO/US) - ENTRY INTO NATIONAL STAGE UNDER 35 USC 371

INTERNATIONAL APP. NO.	INTERNATIONAL FILING DATE	PRIORITY DATE CLAIMED
PCT/GB00/03747	29 September 2000	01 October 1999

TITLE OF INVENTION

Transgenic Rodent Comprising A Polynucleotide Encoding A Human UCP3 Polypeptide

APPLICANT(S) FOR DO/US

Alejandro ABUIN and John CLAPHAM

Box PCT

Assistant Commissioner for Patents

Washington, D.C. 20231

ATTENTION: DO/US

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this Transmittal Letter, Form PTO 1390 and the papers indicated as being transmitted therewith, and Post Card are being deposited with the United States Postal Service on this date March 28, 2002 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EV000522554US addressed to the:

Assistant Commissioner for Patents, Washington, D.C. 20231.

Elsa Natos

(Typed or printed name of person mailing paper)

Elsa Natos

(Signature of person mailing paper)



20462

PATENT TRADEMARK OFFICE

"Express Mail Certificate"  
"Express Mail" Mailing Label Number EV 000522554US  
Date of Deposit: March 28, 2002

Attorney Docket No.: P32426

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Abuin, *et al.*  
International Application No.: PCT/GB00/03747  
International Filing Date: 29 September 2000  
For: Transgenic Rodent Comprising A Polynucleotide Encoding A Human  
UCP3 Polypeptide

**STATEMENT TO SUPPORT FILING AND SUBMISSION IN ACCORDANCE  
WITH 37 CFR §§ 1.821 THROUGH 1.825**

BOX SEQUENCE  
Assistant Commissioner for Patents  
Washington, D.C. 20231

- ( X ) I hereby state that the contents of the paper and computer readable copies of the Sequence Listing, submitted in accordance with **37 CFR §1.821(c)** and **(e)**, respectively, are the same.
- ( ) I hereby state that the submission filed in accordance with **37 CFR §1.821 (g)** does not include new matter.
- ( ) I hereby state that the submission filed in accordance with **37 CFR §1.821 (h)** does not include new matter or go beyond the disclosure in the international application as filed.
- ( ) I hereby state that the amendments, made in accordance with **37 CFR §1.825 (a)**, included in the substitute sheet(s) of the Sequence Listing are supported in the application, as filed, at pages \_\_\_\_\_. I hereby state that the substitute sheet(s) of the Sequence Listing does (do) not include new matter.
- ( ) I hereby state that the substitute copy of the computer readable form, submitted in accordance with **37 CFR §1.825(b)**, is the same as the amended Sequence Listing.

International Appl. No.: PCT/B00/03747  
Group Art Unit No.: Not assigned yet

- ( ) I hereby state that the substitute copy of the computer readable form, submitted in accordance with 37 CFR §1.825(d), is identical to that originally filed.

Respectfully submitted,



Elizabeth J. Hecht  
Attorney for Applicants  
Registration No. 41,824

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